



Management Plan

*Nominations for Fiscal Years
2014–2015*

**Director, International Cooperation
Office of the Under Secretary of Defense
Acquisition, Technology and Logistics**

**Web: www.acq.osd.mil/ic/cwp.html
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BACKGROUND

Current U.S. military strategy and the global security environment make coalition warfare and multinational operations fundamental features of the U.S. national security strategy. Coalitions provide a broad base of technological, operational, and logistical support for military operations and ease the U.S. financial and manpower burdens associated with meeting military goals and objectives. U.S. strategic guidance confirms that coalitions and relationships with international partners are high priorities for the nation and the Department of Defense. The 2010 National Security Strategy recognized that alliances and multinational operations are force multipliers. The 2012 Defense Strategic Guidance reiterates the DoD's preference for conducting operations with allied and coalition forces whenever possible.

"Across the globe we will seek to be the security partner of choice, pursuing new partnerships with a growing number of nations – including those in Africa and Latin America – whose interests and viewpoints are merging into a common vision of freedom, stability, and prosperity."

Sustaining U.S. Global Leadership, January 2012

Priorities for 21st Century Defense

Despite decades of conducting multinational operations, including conducting two wars in the past decade, the United States and its partners continue to experience challenges in conducting coalition operations. Shortcomings still exist in areas such as command and control, information sharing, command, control, communications, and computers and intelligence, surveillance, and reconnaissance (C4ISR), battlespace awareness, humanitarian assistance/disaster relief, and logistics. These shortcomings reveal the complexities and challenges associated with multinational air, land, and sea campaigns and encumber warfighters' abilities to effectively and safely complete missions. U.S. and partner defense budget reductions further exacerbate these challenges.

The Coalition Warfare Program (CWP) program element (PE: 0603923D8Z), under the authority of the Office of the Under Secretary of Defense for Acquisition, Technology and Logistics (OUSD(AT&L)), addresses these needs while striving to deliver new and improved capabilities to the warfighter. CWP provides seed funding to DoD organizations to conduct cooperative research, development, test, and evaluation (RDT&E) projects with foreign government partners. It is the only Office of the Secretary of Defense (OSD) program dedicated to initiating cooperative RDT&E projects with allied and partner nations. CWP seed funding is leveraged against funding from other U.S. government sponsors and foreign partners. In its twelve-year history, CWP has leveraged \$3.1 of other U.S. funding for every \$1 it has invested in cooperative projects and \$4.4 of foreign partner funding for every \$1 investment.

CWP projects enable Project Teams to move a technology into the next stage of development or prepare for transition to operational forces. These projects may also form the basis for future cooperation with our international partners. CWP pursues projects that enhance and increase U.S. and coalition defense capabilities in support of technological or political objectives. Funded projects accelerate the delivery of high-quality solutions to warfighter problems, improve U.S. interoperability with its coalition partners, and strengthen global partnerships. CWP projects support DoD acquisition by:

- Helping program offices convert U.S.-only projects into coalition solutions for the U.S. warfighter

- Influencing coalition interoperability in major programs that will have far-reaching use by U.S. forces.
- Addressing requirements of combined operations early in a program's development cycle to avert risks to joint/coalition operations and avoid costs associated with adding requirements later in the acquisition process.
- Enabling U.S. DoD access to leading-edge global technology.
- Providing significant cost savings to the DoD while maintaining a strong research and development base.

As a research and development funding source in the Office of the Secretary of Defense, CWP strives to bridge the gap between the Combatant Commanders/operational components of the Services and the development and acquisition organizations. CWP funding incentivizes the R&D community to build and sustain solutions to COCOM and operational component capability gaps.

CWP REQUIREMENTS

Projects selected for CWP funding must adhere to the following criteria:

Strong project management: CWP only accepts project nominations from DoD organizations. CWP Project Teams must properly execute, manage, and report on the selected CWP projects, mitigating risks and seizing opportunities as they arise. Successful projects have achievable goals, reasonable funding requests, and executable transition plans.

Sound foreign partnership: CWP projects are collaborative efforts with foreign partners' defense organizations. The foreign partner(s) must have a demonstrable engagement in the RDT&E work, to include committing resources to the effort. The legal vehicles (e.g., required international agreements, licenses, security, etc) and other requirements (e.g., foreign disclosure approvals, etc) must be achievable.

Substantive RDT&E content: CWP, as an RDT&E program element, mandates that funding be used to execute research, development, test and evaluation projects. CWP projects must conform to the rules for RDT&E funding. Projects can include development across the RDT&E spectrum.

Warfighter emphasis: CWP selects projects that have the support of the Combatant Commands (COCOMs) and that provide them the capabilities and coalition enablers they require to be successful in their missions and operations. Projects may support the full-range of DoD operations.

Sound resource planning: CWP funding should be requested for U.S. activities within a project. Selected projects will receive one to two years of funding—up to a maximum of \$1 million per year—which should be expended within three years. The request for CWP funding should be a fraction of the cost of the whole

"A reduction in resources will require innovative and creative solutions to maintain our support for allied and partner interoperability and building partner capacity."

Sustaining U.S. Global Leadership, January 2012

Priorities for 21st Century Defense

project and should be matched or exceeded by the other U.S. resources. An organization's commitment to a project is weighed by the financial contributions that are directly applied to the RDT&E effort in the project. Projects should also show equitable cost sharing between the total U.S. (CWP and other U.S. contributions) and the foreign partners. Projects requesting the maximum CWP funding must demonstrate responsiveness to critical DoD needs.

Tangible outcomes: CWP projects result in tangible deliverables. Highly attractive projects develop and demonstrate solutions that reach warfighters within two to three years.

Transition plan: Transitioning a CWP project involves maturing the technology to the next phase of development, testing, or final fielding. CWP nominations must have an identified transition plan with written support from a transition manager showing commitment to the effort after the CWP project is completed.

LEVERAGING OPPORTUNITIES

MULTI-AND BILATERAL FORUMS

The Department of Defense has international dialogues with numerous partners to identify needs and deficiencies in coalition capabilities. The DoD Science and Technology (S&T) and R&D communities have a wealth of knowledge with respect to activities in their counterparts' programs, and well-established relationships with many of their direct counterparts in partner nations. CWP seeks to leverage, promote, and increase cooperative activities within these communities.

OTHER DoD PROGRAMS

CWP projects can add new capabilities to previous or ongoing activities. The project may be conducted in conjunction with other DoD programs, (e.g., Joint Capability Technology Demonstration (JCTD), Service International Cooperative Research and Development (ICR&D), Small Business Innovation Research (SBIR), etc.). A CWP project can leverage foreign technology to expand the scope of a JCTD, but the CWP project must identify a discrete, self-contained effort.

MANAGEMENT APPROACH

The Coalition Warfare Program is administered by the Office of the Director of International Cooperation (IC), OUSD (AT&L). Director, IC is the approval authority for selection and funding of CWP

Asia-Pacific – “Our relationships with Asian allies and key partners are critical to the future stability and growth of the region.”

Middle East – “To support these objectives, the United States will continue to place a premium on U.S. and allied military presence in – and support of – partner nations in and around this region.”

Europe – “In this resource-constrained era, we will also work with NATO allies to develop a “Smart Defense” approach to pool, share, and specialize capabilities as needed to meet 21st century challenges.”

Sustaining U.S. Global Leadership, January 2012

Priorities for 21st Century Defense

projects. The Deputy Director for CWP serves as the senior OSD point of contact for the program. The CWP Team within OUSD(AT&L)/IC oversees the entire nomination-to-project execution cycle.

Once nominations are submitted, the CWP Team puts them through several stages of review and nomination refinement before selecting the top candidates for the Subject Matter Experts (SME) Review Board and Embassy Reviews. The CWP Team utilizes a broad range of experts in DoD and in our foreign partners' embassies to select projects that best enable coalition solutions and meet the needs of the Department and our partners. Upon approval, CWP provides funding to the Project Team to execute according to the project plan.

ROLES

CWP Team: The Deputy Director for CWP and OUSD(AT&L)/IC CWP staff. The CWP Team conducts outreach to seek potential projects, analyzes nominations, works with U.S. and partner nation teams to improve the viability of worthwhile nominations, maintains the CWP budget, and oversees the execution of the selected projects.

DoD R&D Community: The government labs and program offices within the Services and Agencies that have the Title 10 Authorities to execute RDT&E activities and the COCOM S&T offices. The R&D Community includes the project leads and managers (once selected) of CWP projects. Experts within this community participate in CWP reviews to help identify project synergies and duplications.

Service International Program Offices (IPOs)/CWP Points of Contact (POCs): U.S. Army: Deputy Assistant Secretary of the Army for Defense Exports and Cooperation (DASA DE&C), U.S. Navy: Navy International Program Office 01C (NIPO), U.S. Air Force: Secretary of the Air Force for International Affairs Armaments Cooperation Division (SAF/IAPO). These offices distribute the CWP call memo to the Service R&D community, review first draft nominations, conduct reviews for duplicative or joint interest in projects, participate in the nomination and selection process, and assist the CWP Team in overseeing the execution of the selected projects. They are also the Service points of contact for completing any required international agreements associated with a CWP project. Some Agencies (e.g., DTRA, DISA, CTTSO) have similar CWP POCs.

U.S. Project Team: The Project Team will have a designated Defense Department team lead and could have multiple U.S. partners participating in the effort, to include industry and academia. More complex projects might need to include technology transfer and foreign disclosure specialists on the Project Team. The U.S. Project lead is responsible for the overall technical, financial, and contractual aspects of the project. To be successful, a CWP project must have multiple core team members in this leadership role, as a single project manager is not usually sufficient to complete all of the coordinations and oversight necessary for success.

Foreign Project Team: The foreign team will have government—preferably defense organization—leads from each of the participating nations. These leads will be responsible for the technical, financial and contractual aspects of their efforts related to the project. The [Annex B](#) nomination form must include a written statement of commitment by the foreign lead. Foreign teams can also include foreign industry and academia members.

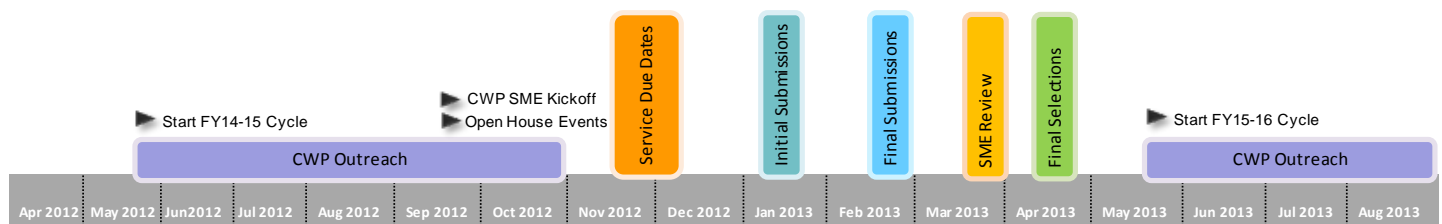
COCOM S&T Advocates: The COCOM S&T Advocates are located in the Science Advisor/Science and Technology staffs within each of the COCOMs, and act as the end-user community representatives during the review of CWP nominations and during the execution of the CWP projects. The CWP Team will work with these offices to gain advocacy of the project nominations early in the nomination development process. If selected, the U.S. project lead will be responsible for coordinating with the COCOM S&T Advocates during the project execution.

Transition Managers: Transition Managers take the deliverable of the CWP project and conduct the next step of activity within the development, procurement, or fielding process.

Support Team: Support elements to a project include the offices assisting with the processes and project development, but are not necessarily involved in day-to-day project activities. Examples of support elements include: Attachés in the foreign embassies, Offices of Defense Cooperation in overseas U.S. embassies, and Service and AT&L desk officers, or other organizations that support information sharing and coordination with counterparts, foreign disclosure, security, technology transfer, and international agreements.

Endorsers: Like advocates, endorsers support the end-use of the products. These may be from any level, including program offices interested in transitioning the technology, resource sponsors, other COCOM offices, senior level DoD support, other Agencies, or foreign partners.

PROJECT SUBMITTAL/SELECTION SCHEDULE



The following nine steps outline the basic CWP project schedule. Additional guidance and details are provided in the referenced Annexes.

STEP 1: CALL FOR NOMINATIONS

MAY 2012

OUSDA(AT&L)/IC issues a memo to COCOMs, Services, and DoD agencies calling for new CWP project nominations. The Service IPOs and other CWP POCs in the Department will distribute the call memo—along with this management plan and the document template Annexes—and the CWP Team will post the relevant documents on the CWP website: <http://www.acq.osd.mil/ic/cwp.html>.

STEP 2: OUTREACH

JUNE – OCTOBER 2012

The CWP Team is always prepared to discuss potential candidates with Project Teams. Formally, the CWP Team will provide informational briefings to targeted DoD communities and discuss and advise on potential nominations during the outreach phase.

STEP 3: PROJECT PLANNING

JUNE – DECEMBER 2012

In addition to outreach visits to specific DoD locations, the CWP Team will be in the Washington DC, San Diego and Dayton areas in the Fall 2012 to hold “Open House” one-on-one discussions with potential Project Teams. Discussions can also take place by teleconferences and VTC. These Open Houses are opportunities for project submitters to ask the CWP Team questions about the process and to discuss nomination ideas. Providing a completed [Annex A](#) to a CWP POC or the CWP Team facilitates advice on the necessary coordination and project planning to make the nomination successful.

Annex A is an initial planning document with financial planning and international agreement worksheets. It is designed to help Project Teams start laying out the details that will ultimately be provided in the Annex B nomination form. It will help identify areas where the Project Team needs help and determine if the project meets CWP requirements and is ready for the current nomination cycle. Please answer the questions posed in the Annex A as completely as possible.

Seek the support of the CWP Team and the other CWP POCs if you have questions, would like to participate in one of the Open House events, or would like help with your nomination. CWP Email - coalition.warfare@osd.mil

Some key areas that need to be addressed during the project planning include:

Resubmissions: Project leads intending to re-submit a nomination from a prior year should revise their nomination using the FY14-15 nomination templates. The new nomination should adequately address feedback provided by the CWP Team in the previous cycle.

Management Planning: Successful cooperative projects with foreign counterparts require broad engagements with the partners and other parts of DoD to assure compliance with plans, processes, and regulations. Successful projects have multiple core team members.

Financial Planning: The Project Teams should start identifying internal resources available for the project early in the project nomination development process. This requires a good relationship with the organization’s budget and contracting office. Projects should base their CWP funding request on an actual estimate of the cost of completing the effort and an analysis of the other resources available for the effort. Project managers must provide schedule and cost estimates as part of the nomination process. Projects will be expected to obligate and expend funding in accordance with OSD benchmarks. No effort should be “forward financed”—only funding actually needed to complete a given fiscal year’s tasks should be requested in the nomination.

YEAR ONE: Project Teams should plan to have all international agreements and contracts in place in time for a December start. CWP will distribute funding as soon as possible in the new fiscal year, dependent on congressional completion of the DoD Authorization and Appropriation Bills.

YEAR TWO: Project Teams should start their second year obligation and expenditure plans in November.

Test and Demonstration Planning: For projects that will require demonstration, Project Teams should identify the demonstration or exercise venues as part of the project plan. Many standing test events/venues require early application and test plans. This requires consideration early in the planning process.

International Agreement Development: Most CWP projects require international agreements. An agreement need not be in place or in negotiations at the time a nomination is submitted to OSD, but will need to be in place before the cooperative work of a project can begin. The appropriate Service IPO can assist the Project Team with understanding what agreements, if any, are needed to conduct the project and the process and timeline involved in concluding the necessary agreements. Project Teams can consult the International Armaments Cooperation Handbook for general guidance on the development and conduct of international agreements at <http://www.acq.osd.mil/ic/handbook.pdf>.

Addressing Technology Transfer, Export Control, Security and Disclosure Issues: Because CWP projects are conducted with foreign governments—and may include engagement with foreign and U.S. industry—Project Teams need to work with the appropriate organizations on the security, disclosure and licensing requirements early in the nomination development process. The CWP Team can provide the necessary points of contact to the appropriate Service and OSD offices upon request.

STEP 4: INITIAL NOMINATIONS

NOVEMBER 2012 - 17 JANUARY 2013

Service and Agency-specific Due Dates: Nominations require different degrees of staffing prior to submission to the CWP Team, depending on the organizations and international agreements involved. The IPO will review, help refine, and coordinate on the nominations and will then submit these nominations to the CWP Team on or before the initial CWP due date. Please contact the appropriate office for full information regarding deadlines and requirements.

Nominations from the Services must be submitted to the appropriate IPO by their internal deadline.

	FY14 process deadlines	
	Initial Nominations	Service In-Person Reviews
Army: DASA(DE&C)	15 November 2012	5 February 2013
Navy: NIPO o1C	15 November 2012	12 February 2013
*Air Force: SAF/IAPQ	3 December 2012	
OSD: OUSD(AT&L)/IC/CWP	17 January 2013	28 February 2013

****Subordinate Air Force commands could have earlier internal deadlines. Contact CWP or SAF/IAPQ for more information.****

CWP initial nominations for FY14-15 funding must be submitted to the CWP Team and coalition.warfare@osd.mil no later than 17 January 2013.

A complete initial nomination requires the following documentation:

[Initial Planning Document \(Annex A\)](#) (if not previously provided to the CWP Team)

[Nomination Form \(Annex B\)](#)

[Quad Chart \(Annex C\)](#)

Annex B and C are the official nomination documents that will be reviewed and graded during the FY14-15 competition cycle. These documents will include all of the details from the Annex A Initial Planning Document.

STEP 5: EVALUATION AND FEEDBACK

JANUARY– FEBRUARY 2013

The CWP Team will review the initial nominations and provide feedback to the Project Teams to make the nominations as complete and competitive as possible. This feedback will include face-to-face meetings, video teleconferences, teleconferences, or email exchanges with the Project Team and necessary coordinating offices. Some Services and Agencies will hold in-person reviews to discuss the projects and initial feedback, as listed in the table in the prior section.

STEP 6: FINAL NOMINATIONS

28 FEBRUARY 2013

Final nominations are due to the CWP Team no later than 28 February 2013. Nominations will be rejected as a candidate if not completed by the deadline.

A complete final nomination requires the following documentation:

Updated [Nomination Form \(Annex B\)](#)

Updated [Quad Chart \(Annex C\)](#)

The final nomination should reflect all feedback received and contain final budget, schedule, endorsement, international agreement, and transition information. The CWP Team will review the final nominations and select the top twenty to present at the Subject Matter Experts (SME) Review Board.

STEP 7: FINAL EVALUATION: SME REVIEW BOARD AND SELECTION

MARCH – APRIL 2013

The SME Review Board includes the Services' IPOs, Service and COCOM requirements communities, DoD Agencies, the Joint Staff, OSD staff, and other CWP POCs. On a case-by-case basis, SMEs from organizations with particular areas of expertise are recruited to evaluate nominations. SMEs review the final CWP candidates and evaluate them against the Department's warfighting priorities and the CWP project criteria.

The CWP Team will convene the SME Review Board in March to evaluate the top twenty nominations. Projects will have fifteen minutes to brief their project against their quad chart. Each nomination will be evaluated against the Department's warfighting priorities and the CWP project criteria (see CWP Requirements). Separately, the CWP Team will hold meetings with Embassy representatives to evaluate partner commitment and execution plans of proposed projects.

The CWP Team will use SME feedback in the decision process to determine selection recommendations for Director, IC. The CWP Team will notify Project Teams of the selection decisions in April 2013.

STEP 8: PROJECT INITIATION

APRIL 2013

Upon notification, the selected Project Teams will be assigned a CWP Team lead and will be required to sign and return the [CWP Agreement Form \(Annex D\)](#) as soon as possible. In signing the form, Project Offices agree to comply with CWP reporting requirements.

The CWP Team will hold a training session in May to walk U.S. Project Teams—to include the technical, financial and contracting leads—through the process of completing the required initial documentation, which is due on or before **15 June 2012**. The initial documentation consists of:

Updated [Quad Chart \(Annex C\)](#) Incorporating updates to the project plan or contributions.

Initial [Monthly Financial Report \(Annex E\)](#). Providing disbursement instructions and obligation and spend plans. These plans need to be completely vetted with the respective financial and contracting officers.

Initial [Quarterly Status Report \(Annex F\)](#)

These documents are critical reporting elements for the CWP Team, which has reporting requirements within AT&L and to the OSD Comptroller.

STEP 9: PROJECT EXECUTION

DECEMBER 2013 – PROJECT COMPLETION

CWP funding is dependent upon congressional approval of the CWP budget and successful completion of the required steps to initiate the project. These steps include completing the necessary international agreements, putting in place required contracts, developing valid project plans, and securing partner nation and U.S. partner funding and resources. When the Fiscal Year's funds are available and the Project Team is ready to begin work, the CWP Team will initiate the transfer of funds in accordance with the project's funding plan. CWP funds are only authorized for the specific project and fiscal year designated.

During the execution phase of the project, Project Teams must demonstrate sound financial management practices. This includes submitting required financial reporting documents on time, obligating funds as soon as possible, forwarding obligation documents to the CWP Team, and executing funds per the defined spend plans (Annex E). The CWP Team requires certain documentation to keep abreast of the project's status and assist with solving problems, as required. The reporting requirements are as follows.

15th of each month – [Monthly Report \(Annex E\)](#) Provides the Project Team's financial officer's obligation and expenditure information for the previous month. Copies of obligation documents (contracts, MIPR acceptances, etc.) should be forwarded to the CWP Team as soon as they are generated.

March and July 15th (and other times, as needed) - Rebaselined Monthly Report (Annex E). If necessary, the financial plan will be rebaselined to show the plan for executing the remaining CWP funds. This supports the CWP Team's mid-year review and also planning for the next fiscal year. A project manager should only change a project's execution plans after discussion with CWP Team.

15th of October, January, April and July – Quarterly Report (Annex F) and Updated Quad Chart (Annex C) - Providing a status update for the project, describing progress toward goals, identifying issues impeding progress, and updating funding charts with U.S. and partner leveraged funds.

Project leads are required to submit quarterly reports to the CWP Team regardless of the level of activity in any given month or quarter. Monthly reports are required as soon as funds are provided to the project and until the balances on all of the funding documents are zero.

Status Updates/Project Reports. Project Teams are encouraged to invite the CWP Team to major project events and to send the CWP Team relevant reports through the life of the project. Project Teams should alert the CWP Team to any issues that arise (including changes to the obligation and expenditure plans). Occasional reports on the transition status of the effort after the CWP project has ended are welcomed.

Final Report (Annex G). The Project Team should forward the Final Report within 60 days of the project's completion. Annex G contains a final report outline, which includes a narrative describing how well the project met originally stated goals and objectives, reports from demonstrations and trials, a description of the project's challenges that may have impacted the final outcome, likely follow-up activities (i.e., further testing, acquisition, etc.), and a comprehensive picture of all spending (OSD, other DoD and foreign partner).

Quarterly reports must be submitted until the CWP Team receives the project's final report.

CONTACT INFORMATION

Website: <http://www.acq.osd.mil/ic/cwp.html>

Email: coalition.warfare@osd.mil

ACRONYMS

C4ISR	Command, Control, Communications and Computers and Intelligence, Surveillance, and Reconnaissance
COCOM	Combatant Command
CTTSO	Combating Terrorism Technical Support Office
CWP	Coalition Warfare Program
DASA/DE&C	Deputy Assistant Secretary of the Army for Defense Exports and Cooperation
DISA	Defense Information Systems Agency
DoD	Department of Defense
DTRA	Defense Threat Reduction Agency

COALITION WARFARE PROGRAM MANAGEMENT PLAN FY2014-2015

IC	International Cooperation
ICR&D	International Cooperative Research and Development
IPO	International Program Office
JCTD	Joint Capability Technology Demonstrations
MIPR	Military Interdepartmental Purchase Request
NATO	North Atlantic Treaty Organization
NIPO	Navy International Programs Office
OSD	Office of the Secretary of Defense
OUSD(AT&L)	Office of the Under Secretary of Defense for Acquisition, Technology and Logistics
PE	Program Element
POC	Point of Contact
QDR	Quadrennial Defense Review
R&D	Research and Development
RDT&E	Research, Development, Test, and Evaluation
S&T	Science and Technology
SAF IAPQ	Secretary of the Air Force for International Affairs Armaments Cooperation Division
SBIR	Small Business Innovation Research
SME	Subject Matter Expert
USC	United States Code
VTC	Video Teleconference

ANNEXES

[**A: INITIAL PLANNING DOCUMENT AND WORKSHEETS**](#)

[**B: NOMINATION FORM**](#)

[**C: QUAD CHART**](#)

[**D: ACCEPTANCE FORM**](#)

[**E: MONTHLY REPORT**](#)

[**F: QUARTERLY REPORT**](#)

[**G: FINAL REPORT**](#)